

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

**SECURITIES AND EXCHANGE COMMISSION,**  
**Plaintiff,**  
**– against –**  
**BARRY C. HONIG, MICHAEL BRAUSER,**  
**JOHN STETSON, JOHN R. O'ROURKE III,**  
**ROBERT LADD, ELLIOT MAZA, BRIAN KELLER,**  
**JOHN H. FORD, ATG CAPITAL LLC, GRQ**  
**CONSULTANTS, INC., HS CONTRARIAN**  
**INVESTMENTS, LLC, GRANDER HOLDINGS, INC.,**  
**and STETSON CAPITAL INVESTMENTS INC.,**  
**Defendants.**

USDC SDNY  
DOCUMENT  
ELECTRONICALLY FILED  
DOC #     
DATE FILED:   2/26/2020

18 Civ. 8175 (ER)

## ECF CASE

## STIPULATION AND [PROPOSED] ORDER

WHEREAS the Plaintiff Securities and Exchange Commission ("Commission") has agreed to provide Defendant Ladd with a copy of the notes taken by an agent of the Federal Bureau of Investigation at various interviews of witnesses in its possession (the "Notes"), provided that Defendants agree to certain conditions;

WHEREAS Defendant Ladd agrees to those conditions;

NOW, THEREFORE, IT IS HEREBY STIPULATED AND AGREED, by and between Ladd and the Commission, by and through his or its respective attorneys:

1. Notwithstanding paragraph 3 of the Stipulation and Confidentiality Order, entered June 5, 2019 (DE 134) (the “Confidentiality Order”), the Commission may designate the Notes as “Confidential” and the Notes shall thereafter be deemed “Confidential Discovery Materials” for all purposes under the Confidentiality Order.

2. Notwithstanding any other paragraph of the Confidentiality Order, should any party to this Stipulation wish to share a copy of the Notes with any other person or party, he or it must first obtain that person's or parties' agreement to abide by the terms of this Stipulation, in addition to the Confidentiality Order, in the form appended hereto as Exhibit A.

3. By disclosing the Notes to Ladd, the Commission has not waived, does not intend to waive, and shall not be deemed to have waived, any of the privileges or protections it has asserted with respect to the Notes or any like material.

Dated: New York, New York  
February 25 2020

ROBERT LADD

By: /s/ Randall Lee  
Randall Lee  
Cooley LLP  
1333 2nd Street  
Suite 400  
Santa Monica, CA 90401  
310-883-6485

Attorneys for Defendant Robert Ladd

SECURITIES AND EXCHANGE  
COMMISSION

By: Nancy A. Brown  
Nancy A. Brown  
200 Vesey Street  
Suite 400  
New York, NY 10281  
212-336-1023

Attorneys for Plaintiff Securities and Exchange  
Commission

So Ordered:

E. D. R.  
Edgardo Ramos, U.S.D.J  
Dated: 2/26/2020  
New York, New York

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

-----x  
SECURITIES AND EXCHANGE COMMISSION, :  
:   
Plaintiff, :  
: 18 Civ. 8175 (ER)  
- against - :  
: ECF CASE  
BARRY C. HONIG, MICHAEL BRAUSER, :  
JOHN STETSON, JOHN R. O'ROURKE III, :  
ROBERT LADD, ELLIOT MAZA, BRIAN KELLER, :  
JOHN H. FORD, ATG CAPITAL LLC, GRQ :  
CONSULTANTS, INC., HS CONTRARIAN :  
INVESTMENTS, LLC, GRANDER HOLDINGS, INC., :  
and STETSON CAPITAL INVESTMENTS INC., :  
:   
Defendants. :  
-----x

EXHIBIT A

AGREEMENT TO ABIDE BY STIPULATION AND ORDER

I have read the Stipulation and Order, entered February \_\_, 2020. I understand its terms and agree to be bound by them, and hereby submit to the jurisdiction of the United States District Court for the Southern District of New York for purposes of the enforcement of the Stipulation and Order. I further understand that failure to abide by the terms of the Stipulation and Order may result in legal action and sanctions.

Dated: \_\_\_\_\_

Agreed: \_\_\_\_\_